



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of : AGARWAL et al

App. No. : 10/026,359 Examiner:

Filed : Dec. 24, 2001 Group Art Unit: 2164

Title : METHOD AND SYSTEM FOR COMPUTER-IMPLEMENTED  
TRADING OF SECONDARY MARKET DEBT SECURITIES

**BOX MISSING PARTS**

Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO "NOTICE TO FILE MISSING  
PARTS OF APPLICATION--FILING DATE GRANTED"**

Sir:

We have received a Notice To File Missing Parts of Application--Filing Dated Granted mailed on 1/28/02. We are returning herewith:

- a copy of the Notice To File Missing Parts
- signed declaration;
- assignment with cover sheet;
- checks for \$1,356 and \$40 (assignment recordal fee)

The Commissioner is hereby authorized to charge any additional fees which may be required during the pendency of this application, or credit any overpayment to our Deposit Account No. 02-4270.

Respectfully submitted,

Dated: 3/26/02

Ralph F. Hoppin  
Ralph F. Hoppin  
Reg. No.: 38,494  
BROWN RAYSMAN MILLSTEIN FELDER  
& STEINER LLP  
900 Third Avenue  
New York, New York 10022  
(212) 895-2000

I hereby certify that this paper, and the papers indicated as being attached herewith, are being deposited this date with the U.S. Postal Service as First Class Mail addressed to: Commissioner for Patents, Washington, D.C. 20231

Ralph F. Hoppin 3/26/02  
Ralph F. Hoppin Date



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/026,359	12/24/2001	Brijesh Agarwal	4652/1B

29858  
BROWN, RAYSMAN, MILLSTEIN, FELDER & STEINER LLP  
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NEW YORK, NY 10022



CONFIRMATION NO. 8067

## FORMALITIES LETTER



\*OC000000007379912\*

Date Mailed: 01/28/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$486.
  - \$234 for 13 total claims over 20.
  - \$252 for 3 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1356.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

04/05/2002 YPOLITE1 00000069 10026359

01 FC:101  
02 FC:102  
03 FC:103  
04 FC:105

740.00 OP  
252.00 OP  
234.00 OP  
130.00 OP